

RECORDS RETENTION AND DISPOSITION SCHEDULE

WATER/SEWER AUTHORITIES AND SANITARY DISTRICTS



Issued By:

North Carolina Department of Cultural Resources
Division of Historical Resources
Archives and Records Section
Government Records Branch

April 1, 2004

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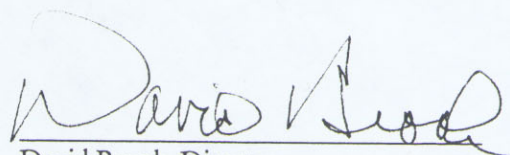
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**Water and Sewer Authorities and Sanitary Districts
Records Retention Schedule**

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapter 121 and 132 of the General Statutes of North Carolina, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED

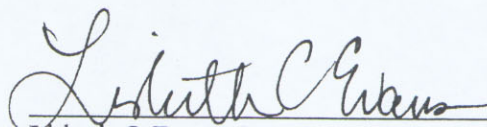
Agency Director, CEO



David Brook, Director
Division of Historical Resources

APPROVED

Chairman, Agency Governing Board



Lisbeth C. Evans, Secretary
Department of Cultural Resources

April 1, 2004

ABOUT THIS PUBLIC RECORDS SCHEDULE

This records schedule identifies and provides retention and disposition instructions for many records that are produced and maintained by water and sewer authorities and sanitary districts. These records are defined under Chapter 132 of the *General Statutes of North Carolina* as “public records.” Chapter 121-5 mandates that these public records may be disposed of only in accordance with an official records retention schedule. Such schedules are written by the North Carolina Department of Cultural Resources in cooperation with the agency or governing body and include the official approval of these bodies, as required by law, for records disposition actions.

INTERNET ACCESS TO PUBLIC RECORDS INFORMATION.

The Government Records Branch offers valuable information on the Internet at its Web site, which may be accessed at the following address:

<http://www.ah.dcr.state.nc.us/sections/archives/rec/default.htm>

Local government agencies are encouraged to reference the site and its links to other data. The Web site offers much of the introductory information and many of the forms contained in this schedule, the full texts of G.S. §121 and §132, and contact information for the Government Records Branch.

WHAT THE SCHEDULE IS.

This schedule contains a listing and brief description of the records maintained by water and sewer authorities and sanitary districts and identifies the minimum period of time each record series shall be retained. Copies of this schedule can be obtained either by contacting the Government Records Branch or from our Web site listed above. Records normally should be disposed of at the end of the stated retention period. In effect, the schedule provides a comprehensive records disposition plan which, when followed, ensures compliance with G.S. §121 and §132. All provisions of this schedule remain in effect until the schedule is officially amended or superseded. Errors and omissions do not invalidate this schedule as a whole or render it obsolete. As long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. §121-5(b) and be evidence of compliance of state law. **In the event that a legal requirement, statute, local ordinance, or federal program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied. All questions concerning the legal requirements for retaining a record should be referred to the governing board’s legal counsel or State Attorney General’s Office.**

PUBLIC RECORDS DEFINED.

G.S. §132-1 states:

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction or public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the state or of any county, unit, special district or other political subdivision of government.

NOT ALL PUBLIC RECORDS ARE OPEN TO THE PUBLIC.

Public records belong to the people. However, not all official public records are open to the public. Many records are protected from general access or casual reference by federal or state laws, or by legal precedent and can be seen only by court order. Therefore, even though G.S. §132-6 and §132-9 provide for public access to most records, certain records should be considered confidential in order to protect the privacy rights of agency personnel and the public. It is the responsibility of each records custodian to be familiar with G.S. §162A-6.1, agency policy, and all other pertinent state and federal legislation and regulations in order to ensure the proper protection of restricted information. If in doubt, consult the Division of Historical Resources or your board’s attorney.

NOT ALL OFFICIAL RECORDS ARE PUBLIC RECORDS.

Certain provisions in the General Statutes remove specific records from the category of “public records” as defined by G.S. §132-1. It is important to note that the only records which are not public records are those individually described in law. Certain records series on this records retention and disposition schedule are excluded from the definition of public records, and are marked as exceptions in the “Citation” column. For these series, the disposition instructions are only recommendations, and are not binding.

Unless otherwise specified, office records which are not public records are also exempt from the public inspection requirements outlined by G.S. §132-6.

ELECTRONIC RECORDS.

Electronic records are becoming an increasingly important part of government work. Word processing on desktop computers means that most office workers are directly responsible for the creation, distribution, and filing of records. Database management systems are used to streamline services. Electronic mail and the World Wide Web are used to keep communication and publishing costs down.

G.S. §132-1(a) defines “ ‘Public record’ or ‘public records’ shall mean all . . . documentary material, *regardless of physical form or characteristics.*” Electronic records are subject to the same public access, personal privacy, audit, and authenticity requirements as the paper records that preceded them. Custodians are still responsible for the accuracy, completeness, authenticity, security, retention, and preservation of their records. The Division has published the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*, which discusses these issues at greater length. Copies can be obtained from our Web site.

ELECTRONIC MAIL.

E-mail systems create records that must be identified, categorized, and appraised for specific values. Under North Carolina’s Public Records Act (chapter 132 of the General Statutes of North Carolina), the e-mail content is subject to the same access and inspection conditions as other records, unless exempted from access by another statute. Privacy considerations, records retention scheduling requirements, and other laws and regulations also apply to e-mail content.

Agencies and local governments retain e-mail messages to satisfy agency needs, record-keeping requirements and to comply with the law. Retention and record-keeping responsibilities often are delegated to individual users (senders/receivers). Government employees face this challenge of managing e-mail, particularly those who make it an important part of their work. The Division has published *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition*, which is available from our Web site.

INDEXING ELECTRONIC RECORDS.

G.S. §132-6 requires that all public databases be indexed. To assist local government agencies in this process, the division has published *Public Database Indexing Guidelines and Recommendations*. Copies can be obtained from our Web site.

CHANGING THE SCHEDULE.

You may request an addition, deletion, or change in a retention period by completing and sending a “Request for Change in Records Schedule” (see page 44) to the Division of Historical Resources. See the instructions on the form for more information.

EARLY DISPOSAL OR DISPOSAL OF UNSCHEDULED RECORDS.

Custodians desiring to dispose of records earlier than specified in this schedule, or to dispose of records not listed in the schedule, may use the form “Request and Approval of Unscheduled Records Disposal” (see page 45) to obtain the concurrence of the Department of Cultural Resources. Permission must also be obtained from both the county or municipal board of elections and the State Board of Elections. That permission must be recorded in each board’s minutes.

HISTORICAL VALUE. Before preparing to dispose of certain records, their potential historical research value should be considered. Selected records might have enduring value because they document the origin, organization, development and functions of an agency. Likewise, some records have enduring value as sources of information on persons, places, subjects, events and transactions. These records provide evidence of the interactions between citizens and local government agencies. Several record series which may have such value are identified in this schedule and assistance in determining historical or archival value is available upon request.

PERMANENT RECORDS.

Records scheduled for permanent preservation, even after being microfilmed, may not be destroyed without specific written permission of the Department of Cultural Resources.

PROTECTING PUBLIC RECORDS.

Public records are public property. They should remain in the care of the governmental agency in which they were created or collected in the course of public business. Public records should be disposed of only when, and as specified, in this records schedule.

ASSISTANCE WITH INTERPRETATION AND APPLICATION OF THE PROVISIONS OF THIS SCHEDULE.

The Government Records Branch provides a variety of records management services to local government agencies, including the interpretation and use of this retention and disposition schedule. Records analysts are available to assist by telephone and e-mail. Analysts make site visits to local government offices, as requested.

The Raleigh office can be reached at (919) 807-7350, or at records@ncmail.net.

The Western Office, located in Asheville, can be reached at (828) 274-6789.

DESTRUCTION OF PUBLIC RECORDS

1. **AUTHORIZED PROCEDURES.** North Carolina General Statutes §121-5(b) and §132-3(a) prohibit the destruction of public records in any format without the prior authorization of the Department of Cultural Resources. One of the following procedures shall be followed prior to the destruction of public records.
 - a) Records listed in this schedule, or added later by amendment, may be destroyed after the specified retention periods without further approval of the Department of Cultural Resources or the governing body, provided the following conditions are met:
 - (1) The Director, Division of Historical Resources, and Secretary, Department of Cultural Resources, have certified that such records in the retention and disposition schedule have no further use or value for research or reference by signing the agreement sheet of this schedule.
 - (2) The authority's or district's governing body has authorized the records listed herein for destruction to be destroyed by blanket approval of this retention and disposition schedule.
 - (3) The Chairman of the authority's or district's governing body has indicated that body's approval by signing the same agreement of this schedule.
 - (4) The authority's or district's governing body has entered this approval along with a copy of the schedule in the governing board minutes, or as an attachment to the minutes.
 - b) One-time destruction of an accumulation of an unscheduled or a discontinued record series should be referred to the Department of Cultural Resources and the governing body for authorization.

This records retention and disposition schedule may be altered to permit the further destruction of unscheduled records only after consultation with the Government Records Branch.

In accordance with G.S. §121-5(b), it is recommended that each authority's or district's board approve the retention and disposition schedule and include a copy in the minutes of the meeting during which the guidelines are approved.

2. **DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED.** Under certain conditions, duplicates of records may be used in place of the originals. Duplicates include (but are not limited to): microfilm of paper or electronic records, scanned paper records, and printouts of electronic records.

For the original records to qualify for potential destruction, the corresponding duplicates must be created in the normal course of business and must be retained for the full period of time listed in the disposition instructions.

Records scheduled as permanent may be duplicated. The original records, however, may not be destroyed without prior consent of the Department of Cultural Resources. This records schedule does not constitute such consent.

Unlike a xerographic reproduction of paper records, a printout of an electronic record may lose valuable information describing its content, context, and structure. This metadata is a key element of an electronic record. Therefore, records custodians are cautioned not to assume that a printout contains all of the information the original electronic record does.

Records duplicated through digital imaging or other conversion to computer or digital environments must be supported by convincing, documented evidence that the electronic records were created, reproduced, and otherwise managed in accordance with systems and procedures designed to ensure the reliability, accuracy, and security of both the records and the process or system used to produce the records. Provisions must also be made to ensure the records' accessibility throughout their retention period, including any required migration, recopying, or conversion. Prior to destroying scanned paper records, correspondence using the form "Request

for Disposal of Original Records Duplicated by Electronic Means” (see page 46) should be submitted to the Government Records Branch. Upon receiving authorization paper records scanned into digital environments may be destroyed.

To assist local government agencies, the Division of Historical Resources has published guidelines for establishing methods and procedures in the duplication of original records. Copies of *Micrographics: Technical and Legal Procedures* and the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* can be obtained from our Web site.

3. **DESTRUCTION OF ELECTRONIC RECORDS.** Careful attention must be paid to the destruction of electronic records. When computers are disposed of, hard drives must be carefully and thoroughly erased or destroyed. Tapes, disks, and other recording media should be physically destroyed. Simple erasure or destruction of a disk’s index file is insufficient to destroy the actual data recorded on the disk.

High-capacity storage media, such as CD-ROMs or optical media, may contain records of differing retention requirements. It is important that those records that must be retained for longer periods continue to be accessible.

There are two options:

- a) Recopy the longer-retention records onto a separate tape or disk and destroy the original.
 - b) Retain the entire tape or disk as long as required for the longest-term record.
4. **METHODS OF DESTRUCTION.** Local government records provide documentation of the actions and processes of government at its most direct level. These records should remain in the custody and control of the agency that created them or received them pursuant to law until such time as they are eligible for disposition. When authorized by an approved records retention and disposition schedule, records should be destroyed in one of the following ways:

- a) burned, unless prohibited by local ordinance
- b) shredded, or torn up so as to destroy the record content of the documents or materials concerned
- c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
- d) buried under such conditions that the record nature of the documents or materials will be terminated
- e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records

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Confidential records should be destroyed in a secure manner.

5. **DISPOSITION OF RECORDS NOT AUTHORIZED FOR DESTRUCTION BY THIS SCHEDULE.** Custodians with records not authorized for destruction or other disposition by this schedule may discard these records by following one of the procedures listed below:

- a) Submit correspondence using the form “Request and Approval of Unscheduled Records Disposal” (see page 45) to the Government Records Branch.
- b) Custodians with records no longer in current use that are identified as permanent and not authorized for destruction by this schedule, or with paper records that have been microfilmed, are authorized and empowered to turn over such records to the Department of Cultural Resources. The Department of Cultural Resources is authorized, at its discretion, to accept custody of those records, providing it has

adequate space and staff in the State Archives. A written offer of the records should be made to the Assistant State Records Administrator, Government Records Branch, 4615 Mail Service Center, Raleigh, North Carolina 27699-4615.

DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, county and municipal records have been vulnerable to man-made and natural disasters. Even with modern facilities and improved security and protective measures, public records are still susceptible to fire and water damage, and several disasters involving public records have occurred in this state during recent years. One of the most common forms of disaster has been a fire (usually at night or during a weekend). In those instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from fire fighting. In most cases, records that were irreparably damaged might have been saved if state and local officials had known what to do with damaged records and acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Historical Resources has formed a Disaster Response Team. Upon request, members of this team will advise local officials on the retrieval of damaged records. When possible, they will also provide further assistance upon request.

WHAT SHOULD YOU DO WHEN A DISASTER OCCURS? The first and most important step to take is to secure the area containing the damaged records as soon as possible. Until fire fighters or other safety personnel confirm the safety of the area, no one should enter the facility. Then notify the Division of Historical Resources at (919) 807-7350 immediately. Nights or weekends, call your local emergency management office.

In the case of water-damaged records, the first step is to ventilate the area as much as possible to minimize the growth of mold and facilitate later records-salvage efforts.

Finally, and most important—**NO ONE SHOULD REMOVE OR ATTEMPT TO CLEAN RECORDS.** Damaged records are fragile, and attempts to move or clean them may cause unnecessary destruction. Only trained personnel should direct the recovery of the damaged records.

Information about disaster response is available on the Division of Historical Resources' Internet Web site at:
<http://www.ah.dcr.state.nc.us>

RECORDS MANAGEMENT WORKSHOPS

Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. They are also available at periodic intervals in the State Records Center building in Raleigh.

An agency outside the Raleigh area may request that a workshop be held on its premises by contacting the Government Records Branch. These workshops can be offered in combination, or otherwise tailored to specific issues or needs in your office. Although fifteen is an optimal number of participants for workshops, they are provided for any interested agency personnel.

SCANNING AND MICROFILMING PUBLIC RECORDS. This workshop covers scanning and microfilming fundamentals. We provide a series of steps to use in planning a scanning project, discuss resource allocation issues, and describe potential pitfalls in the process. A basic review of records management and public records law is provided.

The workshop presents principles for both microfilming and scanning, state technical standards and procedures to ensure the legal admissibility of microforms and scanned records, and systems and equipment. Also included are the advantages and limitations of the two processes; quality control procedures; suggested specifications for vendor services; state technical standards for in-house operations or vendor services; and choosing and implementing a scanning, microfilming, or hybrid system.

State, county, and municipal government agencies with existing in-house systems, staff who perform or supervise source document microfilming or scanning, and those interested in developing or maintaining micrographic or scanning systems would benefit from this training course.

This is normally a full-day workshop, but it can be shortened for presentation outside of our classroom.

MANAGING PUBLIC RECORDS. Management methods and procedures for controlling active and inactive records in state, county, and municipal government offices through the use of records retention and disposition schedules are presented in the workshop. Included in the training session are pertinent laws, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

FILES AND FILING. Step-by-step procedures for organizing and maintaining subject files in an efficient, easy-to-use system are presented in this workshop. The workshop includes: ordering and using the correct supplies; organizing files by their function; color coding files to increase retrieval speed and reduce misfiles; a single-point reference system with everything about a particular case, subject, person, or location in one folder (case filing); eliminating "General" and "Miscellaneous" files; and creating a filing system through which anyone can locate a folder.

MANAGING ELECTRONIC PUBLIC RECORDS. Electronic files in state, county, and municipal agencies include records stored in desktop computers, network servers, and computer "archives." The workshop covers public access to electronic files; legal acceptance of electronic records; managing, storing, and retrieving electronic records; electronic mail; security of electronic files; and system backups.

MICROFILM

ADVANTAGES. Microfilm is an economical and practical means of preserving a security copy of essential records, and it can be used by government agencies to eliminate the problem of excess paper.

LEGAL AUTHORITY AND ACCEPTANCE. Legal authority for microfilming county records is contained in G.S. §153A-436 and 160A-490. This statute provides that the method of reproduction must give legible and permanent copies and that the reproduction of the public records must be kept in a fire-resistant file, vault, or similar container.

G.S. §8-45, §153A-436 and 160A-490 provide that microfilm copies of public records shall be admissible as evidence in any judicial or administrative proceeding.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Historical Resources has published *Micrographics: Technical and Legal Procedures* to aid state, county, and municipal agencies in producing good-quality microfilm that meets all legal requirements.

TECHNICAL STANDARDS. Specific technical standards are required to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. There are four basic groups of standards that establish criteria for microfilm to be of archival or permanent quality: standards for the manufacture of raw film, standards affecting the method of filming in order to produce good overall results, standards involved in processing (developing) microfilm, and standards for the storage of processed microfilm. Those standards are listed and explained in the Division of Historical Resources's publication *Micrographics: Technical and Legal Procedures*. The standards were compiled from national associations such as the American National Standards Institute (ANSI) and the Association for Information and Image Management (AIIM).

SCANNING RECORDS. For guidance on implementing or maintaining a scanning system, contact the Government Records Branch.

MICROFILMING SERVICES AVAILABLE. The Division of Historical Resources offers microfilming of minutes and other selected permanent records. An appointment to microfilm the records is necessary and may be made by calling (919) 807-7350. The silver original reel is stored for security in the State Archives' environmentally controlled vault. Duplicate reels may be obtained from the Government Records Branch for a small fee.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost-effective micrographic system to meet their needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets state technical standards and is of archival quality.

Agencies microfilming their own *permanent* records should send the silver (camera) film to the Division of Historical Resources for storage in the vault. Duplicate film can be used in the office as the working copy.

PUBLIC RECORDS WITH SHORT-TERM VALUE

GUIDELINES FOR THEIR RETENTION AND DISPOSITION

According to North Carolina General Statutes §121 and §132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material
- routing slips or other records that transmit attachments
- reservations and confirmations
- personal messages (including electronic mail) not related to official business
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its “Request and Approval of Unscheduled Records Disposal” (see page 45). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of water and sewer authorities and sanitary districts.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	a) Retain official copy permanently. b) Destroy in office remaining copies 3 years after superseded.	
2.	AGENDAS AND MEETING PACKETS FILE Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies.	Destroy in office when administrative value ends.	
3.	APPLICATIONS FOR APPOINTMENT Applications and related documentation received from individuals applying for appointments to serve on public boards, commissions, councils and committees.	a) Destroy in office records concerning individuals appointed 1 year after expiration of term. b) Destroy in office remaining records after 2 years.	
4.	APPOINTMENTS REPORTING RECORDS Includes public boards, commissions, councils and committees annual appointment reports filed with the NC Department of the Secretary of State and related documentation.	Destroy in office after 2 years.	G.S. §143-157.1
5.	ASSOCIATIONS AND ORGANIZATIONS FILE Documentation related to associations, organizations, groups, etc., which have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
6.	AUDIO AND VIDEO RECORDINGS OF MEETINGS	Destroy in office after approval of official written minutes.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related documentation concerning approved changes. Note: Also include WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS item 30, page 36.	In accordance with G.S. §132-1.7, these records are not public records as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel. Recommended disposition: Retain for life of structure.	G.S. §132-1.7
8.	BULLETINS	Destroy in office when administrative value ends.	
9.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
10.	CHARTER RECORDS Includes resolutions, Articles of Incorporation and other related records documenting the creation and certification of an agency.	Retain in office permanently.	
11.	CITIZEN COMPLAINTS AND SERVICE REQUESTS Documentation conveying objections, dissatisfaction or disagreements with actions or positions taken or not taken by the agency. Also includes documentation of routine requests for service or information and petitions with no legal affect.	Destroy in office 2 years after resolution.*	
12.	CONFERENCES AND WORKSHOPS FILE Record concerning conferences and workshops conducted or attended by county employees.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 26, page 24.	

*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see *LITIGATION CASE RECORDS* item 11, page 18..

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	CORRESPONDENCE AND MEMORANDA	a) Retain records with historical value permanently. b) Destroy routine administrative correspondence and memoranda when administrative value ends. c) Destroy in office remaining records after 3 years. See also Public Records with Short Term Value page xi. For information on handling electronic mail, See Electronic Mail section page iii.	
14.	EQUIPMENT AND PROPERTY INVENTORIES Inventories describing the type of property or equipment, its location and related information.	Destroy in office when superseded or obsolete.	
15.	EQUIPMENT AND VEHICLE REFERENCE FILE Includes operation, specification and technical manuals, brochures, bulletins and related documentation.	Destroy in office when superseded, obsolete or asset is no longer owned.	
16.	EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS Records documenting the maintenance, repair and inspection of agency owned facilities.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of equipment. b) Retain for life of equipment records documenting all other equipment maintenance and repairs.	See also WATER AND WASTEWATER SYSTEM MAINTENANCE AND REPAIR RECORDS , item 34, page 35.
17.	EQUIPMENT, FACILITY AND VEHICLE USAGE RECORDS Records documenting the assignment, request and usage of agency assets. Includes mileage and check out logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of agency owned property.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records when administrative value ends.	

*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see *LITIGATION CASE RECORDS* item 11, page 18..

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	FACILITY ACCESSIBILITY FILE Records document compliance with the Americans with Disabilities Act (ADA). Includes surveys of agency owned facilities to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.	Destroy in office after 5 years.	29 CFR 1602 (1992).
19.	FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS Records documenting the maintenance, repair and inspection of agency owned facilities.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of facilities. b) Destroy records documenting all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
20.	FUND DRIVE AND EVENT RECORDS Records documenting the promotion and organization of fund drives and other special events in which the agency participated.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
21.	GOALS AND OBJECTIVES	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
22.	GRANT CONTRACT APPEALS CASES	Destroy in office 10 years after final action or decision.*	
23.	GRANT PROPOSALS	a) Transfer records concerning approved grants to GRANTS FILE item 24, page 5. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	GRANTS FILE Records concerning approved federal, state, and private grants. Includes applications and all relevant programmatic records. Most grantor agencies require grant-related records be maintained 3 years, however, some have a 5 year requirement.	a) Destroy in office records relating to specific non-continuing grants 3 years after termination or when released from audit, whichever occurs later. b) Destroy in office yearly records relating to specific continuing grants 3 years after annual financial report is filed. c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year. See also GRANTS: FINANCIAL RECORDS item 28, page 13.	
25.	HISTORIES FILE (AGENCY AND EMPLOYEES) Published and unpublished histories of the agency, its departments and employees. May includes documentation such as photographs, articles appearing in newspapers or other publications.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
26.	INDEX FILE	Destroy in office when reference value ends.	
27.	LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.	
28.	LOST AND STOLEN PROPERTY REPORTS Includes reports of vandalism.	Destroy in office after 3 years.*	
29.	MAILING AND DISTRIBUTION RECORDS Includes mailing and meeting notification lists, Sunshine Lists and related documentation of transactions with the U.S. Postal Service or private carriers.	Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.	G.S. §143-318.12 (b) 2

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	MANAGEMENT STUDIES	a) Retain record with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
31.	MINUTES AND ATTACHMENTS Official minutes of meetings of elected or appointed boards, commissions, councils, authorities and committees or other public bodies including all referenced and attached documentation	Retain in office permanently. See the Microfilm section on page x for instructions on microfilming.	G.S. §143-318.10
32.	MINUTES AND ATTACHMENTS (STAFF MEETINGS) Minutes of meetings including all referenced and attached documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	G.S. §143-318.10(c)
33.	NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules.	Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.	
34.	OFFICE SECURITY RECORDS Records concerning the security of the office, its equipment, and office personnel. Includes visitor's register and security system reports.	In accordance with G.S. §132-1.7, these records are not public records as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel. Recommended disposition: Destroy in office after 1 year.	G.S. §132-1.7

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	ORDINANCES Includes code of ordinances and ordinance development records.	a) Retain one copy permanently. See the Microfilm section on page x for instructions on microfilming. b) Destroy in office reference copies when administrative value ends. c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends, whichever occurs first.	G.S. 162A-9.1
36.	ORGANIZATION RECORDS Includes organizational charts, reorganization studies and similar documentation describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other copies when superseded or obsolete.	
37.	PARKING FILE Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
38.	PLANNING AND DEVELOPMENT FILE Records documenting the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.	a) Retain record with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
39.	PRINTING REQUESTS	Destroy in office when reference value ends.	
40.	PROJECTS FILE Includes project correspondence, final reports, specifications, notices to proceed, cost estimates, change orders, performance and payment bonds and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
41.	PUBLIC HEARING RECORDS Includes agendas, minutes, speaker sign up sheets and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to agency records.	Destroy in office after 2 year after resolution.*	
43.	PUBLICATIONS RECEIVED	Destroy in office when reference value ends.	
44.	RECORDS MANAGEMENT FILE Includes correspondence with state and federal agencies, records disposition documentation and copies of records retention and disposition schedules.	a) Retain documentation concerning final disposition of records permanently. b) Destroy in office remaining records when superseded, obsolete or administrative value ends, whichever occurs first.	
45.	REFERENCE (READING) FILE Subject files containing informational copies of record organized by areas of interest.	Destroy in office when reference value ends.	
46.	REPORTS (INTERNAL ADMINISTRATION)	a) Retain in office 1 copy of biennial and annual reports permanently. b) Destroy in office all other reports when administrative value ends.	
47.	REQUISITIONS FILE Requests for parts and inventory items.	Destroy in office after 1 year.	
48.	RESEARCH AND STUDIES FILE (ADMINISTRATIVE) Includes feasibility studies, planning and land use studies, transportation system plans, and similar documents and supporting records with potential long-term value.	a) Retain record with historical value permanently. b) Destroy in office remaining records when administrative value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
49.	RESOLUTIONS, PROCLAMATIONS AND ORDERS	a) Destroy in office reference copies when administrative value ends. b) Destroy in office development records when administrative value ends.	
50.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
51.	TELEPHONE USAGE LOGS AND REPORTS	Destroy in office when administrative value ends.	
52.	VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS Records documenting the maintenance, repair and inspection of agency owned facilities.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of vehicles. b) Retain for life of vehicle records documenting all other maintenance and repairs.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement and collection, and accounting of the water and sewer authorities.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS PAYABLE Records concerning the status of accounts in which the county owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	ACCOUNTS RECEIVABLE Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	ACCOUNTS UNCOLLECTABLE	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
4.	ANNUAL BUDGET Annual budget and budget message submitted to governing board for approval.	Destroy in office after 5 years. <i>Retention Note: Records have potential historical value and may be retained for longer periods of time.</i>	G.S. § 159-11
5.	AUDIT REPORTS Reports and related records documenting audits conducted on departments and programs. Also includes annual audits prepared by external independent auditors verifying financial activity for the year.	Destroy in office after 5 years. <i>Retention Note: Records have potential historical value and may be retained for longer periods of time.</i>	G.S. § 159-34
6.	AUTHORIZATION FORMS	Destroy in office after 3 years.*	
7.	BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, AND RECONCILIATIONS	Destroy in office after 3 years.*	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	BIDS FOR PURCHASE Records documenting quotes to supply products and services. Includes advertisements, requests, and tabulations, bid bonds, awards letters, records of bids and related records concerning accepted and rejected bids.	Destroy in office 3 years after purchase.*	G.S. § 143 Article 8
9.	BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. Includes records documenting the various disposition procedures used, such as sealed bids and public auction.	Destroy in office after recording in county or municipal board's minutes.	
10.	BILLING AND CLAIMS Records used as the basis for payment of bills and claims for damages made by and against the agency. Note: File does not include CUSTOMER FINANCIAL RECORDS item 2, page 32.	Destroy in office after 3 years after settlement.*	
11.	BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain permanently official copies in the minutes of the governing board. b) Destroy in office remaining copies when administrative value ends.	G.S. § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S. § 159-15
12.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence and related records.	Destroy in office after 3 years.*	G.S. § 159-10
13.	CASH RECEIPTS	Destroy in office after 3 years.*	
14.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	CHECK REGISTER, VARIOUS FUNDS	a) Destroy computerized check registers in office after 1 year.* b) Destroy in office all other registers after 3 years.*	
16.	CONTRACT BUDGET AND EXPENDITURE REPORTS	Destroy in office after 3 years.*	
17.	CREDIT CARD USE FILE	Destroy in office after 1 year.*	
18.	DAILY CASH REPORTS	Destroy in office after 1 year.*	
19.	DAILY DETAIL REPORTS	Destroy in office after 1 year.	
20.	DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS	Destroy in office after 1 year.*	
21.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
22.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years. b) Destroy in office all other reports after 1 year.	
23.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS	Destroy in office when superseded or obsolete.	
24.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	
25.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
26.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS	a) Destroy depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	

*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office after 3 years year-end summaries of receipts and disbursements. b) Destroy in office after 1 year daily, monthly or quarterly transaction detail journals and ledgers.	
28.	GRANTS: FINANCIAL RECORDS Records concerning approved federal, state, and private grants. Includes all relevant accounting, purchasing, payroll, and financial records. Most grantor agencies require grant-related records be maintained 3 years, however, some have a 5 year requirement. Therefore reference should be made to the specific terms of each grant.	a) Destroy federal grants in office after 3 years and when released from all audits, whichever occurs later. Some agencies, however, require 5 years retention.* b) Destroy state and private grants in office after 3 years.*	
29.	INSURANCE FILE Certificates of insurance and related records provided by insurance provides as proof of coverage.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims, whichever occurs first See also BILLING AND CLAIMS FILE item 10, page 11.	
30.	INVENTORIES OF PROPERTY AND EQUIPMENT	Destroy in office when superseded or obsolete.	
31.	INVOICES	Destroy in office after 3 years.*	
32.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.	G.S. §159-33 and §159-33.1.
33.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.	
34.	MONTHLY BUDGET REPORTS	Destroy in office after 1 years.*	
35.	PAID CHECKS, BILLS AND VOUCHERS	Destroy in office after 3 years.*	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).	a) Destroy in office deduction authorization forms and records when superseded or obsolete. b) Destroy remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
37.	PAYROLL AND EARNINGS RECORDS Records containing information such as the name, social security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.	a) Transfer records documenting personnel actions to individual's personnel jacket. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)
38.	PRICE QUOTATIONS	Destroy in office after 1 year.*	
39.	PROCUREMENTS AND PURCHASING	Destroy in office after 3 years.*	
40.	PURCHASE ORDERS Records, forms and attached documents used to purchase supplies, equipment, and services.	Destroy in office after 3 years.*	
41.	PURCHASING REPORTS	Destroy in office after 1 year.*	
42.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*	
43.	TELEPHONE LOGS (BILLINGS)	Destroy in office after 1 year.*	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records documenting the work hours and attendance of employees.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy all remaining records in office after 4 years.*	
45.	TRAVEL REIMBURSEMENTS	Destroy in office after 1 year.*	
46.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
47.	VEHICLE MAINTENANCE FILE File consists of billing records.	Destroy in office when released from all audits.	
48.	VENDOR FILE Files maintained on specific vendors including accounts payable activity, Federal Tax Identification Number, name and address, correspondence and related records.	Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.	
49.	VOUCHER REGISTERS FILE, GENERAL EXPENSE AND PERSONAL SERVICE	Destroy in office after 3 years.*	
50.	VOUCHERS, VARIOUS FUNDS	Destroy in office after 3 years.*	
51.	WITHHOLDING TAX FILE Records concerning individual employee's income taxes. Includes wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

STANDARD-3. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of water and sewer authorities or their individual employees or clients.

<i>ITEM #</i>	<i>STANDARD-3: LEGAL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales etc.	a) Retain in office permanently if record provides only evidence of action(s) taken. b) Destroy remaining records in office after 3 years.*	G.S. § 1 Article 50
2.	COMPLAINTS (DISCRIMINATION) Records relating to discrimination charges. Includes charges made under the Age Discrimination in Employment Act, Americans with Disability Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.	a) Destroy in office 2 years after final disposition of the charge. b) Transfer to LITIGATION CASE RECORDS item 11, page 18 if legal action is taken.	
3.	CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. Includes franchise agreements.	a) Destroy construction (capital improvements) contracts 6 years after completion or termination of project.* b) Destroy all other contracts and agreements 3 years after expiration, termination, or completion.* c) Retain contracts and agreements with historical value permanently.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-3: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CORRESPONDENCE (LEGAL) Correspondence and related records documenting actions taken to recover debts, fines, penalties, and assure violations concerning solid waste, environmental health, public health, erosion control, etc., are addressed.	a) Destroy in office 3 year after resolution. b) Transfer to LITIGATION CASE RECORDS item 11, page 18 if legal action is taken. See also Public Records with Short Term Value page ix. For information on handling electronic mail, See Electronic Mail section page iii.	Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal council.
5.	EASEMENTS AND RIGHT OF WAY AGREEMENTS Granted to and by the agency.	a) Retain originals permanently. b) Destroy copies in office when administrative value ends.	
6.	EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) FILE	Destroy in office after 3 years.	
7.	INSURANCE POLICIES Records regarding accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by agency.	a) Destroy original records 6 years from date of termination or settlement of all claims, whichever occurs first.* b) Destroy copies in office when administrative value ends.	
8.	LEASES FILE	a) Destroy original records 3 years from date of termination or settlement of all claims, whichever occurs first.* b) Destroy copies in office when administrative value ends.	
9.	LEGAL OPINIONS Includes opinions rendered by counsel or the State Attorney General's Office concerning the governance and/or administration of local government.	a) Retain original records permanently. b) Destroy copies in office when administrative value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-3: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	LEGAL REVIEW RECORDS Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other reviews of departmental matters as requested.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations; whichever is longer. See also LEGAL OPINIONS item 9, page 17.	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
11.	LITIGATION CASE RECORDS Civil suits to which the county is a party. Files may include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	a) Destroy in office adjudicated cases 5 years after final settlement. <i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i> b) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final settlement or expiration of relevant statute of limitations; whichever is longer. c) Retain cases having precedent or historical value permanently	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
12.	ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS Records documenting the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.	
13.	OWNERSHIP RECORDS (DEEDS, TITLES) Legal documents showing ownership.	Destroy in office 1 year after county relinquishes ownership of land.*	
14.	VEHICLE TITLES	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
15.	WARRANTIES	Destroy in office 1 year after expiration of warranty.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

<i>ITEM #</i>	<i>STANDARD-3: LEGAL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
16.	WORKERS' COMPENSATION LITIGATION FILE	a) Transfer official copy to Industrial Commission when claim is filed. b) Destroy in office remaining records 1 year after claim is closed. c) Transfer to LITIGATION CASE RECORDS item 11 page 18 if official action is taken.	Comply with applicable provisions of G.S. §97-24 regarding workers' compensation records. Also, comply with applicable provisions of G.S. §132-1.1 (a) regarding confidentiality of legal correspondence.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

STANDARD-4. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of water and sewer authorities employees.

<i>ITEM #</i>	<i>STANDARD-4: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ABOLISHED POSITION FILE	Destroy in office when reference value ends.	
2.	ADDRESS FILE	Destroy in office when superseded or obsolete.	
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	
4.	AFFIRMATIVE ACTION PLANS	Destroy in office when superseded or obsolete.	29 CFR 1608.4
5.	APPLICATIONS, RESUMES, AND INTERVIEW RECORDS	a) Transfer records concerning individuals hired to appropriate personnel record when individual accepts employment. b) Destroy unsolicited applications/resumes in office 2 years after receipt. c) Destroy interview documentation (notes, test scores, question lists, etc.) after 2 years per 29 CFR 1602.14 (1992). d) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

<i>ITEM #</i>	<i>STANDARD-4: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
6.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS	a) Destroy in office administrative records after all audits plus 3 years. b) Destroy yearly enrollment records after 1 year. c) Destroy claim records and receipts after all audits plus 3 years.	
7.	COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)	Destroy in office 3 years from date eligibility ended.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
8.	CORRESPONDENCE/MEMORANDA (PERSONNEL)	Destroy in office after 3 years.	
9.	DEFERRED COMPENSATION FILE	Destroy in office when reference value ends.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
10.	DISABILITY SALARY CONTINUATION CLAIMS	a) Transfer original forms to Local Government Retirement System for action when received. b) Destroy in office reference copies after 1 year.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	DISCIPLINARY FILE Correspondence and other records concerning disciplinary action taken against employees.	a) Transfer disciplinary records relating to individual's non-selection, performance evaluation, suspension, disciplinary actions, and termination of employment to appropriate personnel record. b) Destroy remaining records in office when administrative value ends.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
12.	DRUG AND ALCOHOL PROGRAMS FILE	a) Destroy positive test results in office after 5 years. b) Destroy negative test results in office after 1 year. c) Destroy collection logbooks and training records in office after 2 years. d) Destroy equipment calibration, evaluations and annual summaries in office after 5 years.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
13.	DUAL EMPLOYMENT FILE	Destroy in office when reference value ends.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE	a) Destroy in office records concerning approved requests when released from all audits. b) Destroy in office records concerning disapproved requests 6 months after disapproval.	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
16.	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.	Destroy in office when superseded or obsolete.	
17.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
18.	EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, and removal from program or until audited, whichever is later.	
19.	EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification forms (I-9) forms.	a) Destroy certificates, I-9 forms, statements, etc. in office 3 years after individual was hired or 1 year from date of separation, whichever is longer. b) Destroy registers in office after 2 years.	8 CFR 274a.2 (1993) 8 USC 1324a
20.	EMPLOYEE EXIT INTERVIEW RECORDS	Destroy in office when administrative value ends or 3 years, whichever occurs first.	
21.	EMPLOYEE HEALTH CERTIFICATES Includes health or physical examination reports or certificates created to aid in the selection, promotion, or transfer of the applicants or employees.	Destroy in office after 2 years per 29 CFR 1602.31.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

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ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	EMPLOYEE MEDICAL RECORDS Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.) Retention Note: Records must be maintained separately from an employee's personnel jacket.	a) Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.* b) Destroy remaining records in office after 5 years.	29 CFR 1904.4 and 1910 Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
23.	EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3(b)(2). Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
24.	EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Retain permanently pension and deferred compensation forms. b) Destroy life, health, and disability insurance forms 4 years after termination of coverage.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
25.	EMPLOYEE SUGGESTIONS	Destroy in office when administrative value ends.	
26.	EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	a) Destroy non-employee-specific records when superseded or obsolete, but within 5 years. b) Transfer original employee-specific records to Personnel Office for review and disposal.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS	Destroy in office after 2 years.	29 CFR 1602.31.
28.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) COMPLIANCE CASE RECORDS	Destroy in office after 3 years.	
29.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) DISCRIMINATION COMPLAINT CASE RECORDS Records concerning discrimination complaints received and resolved by the county.	Destroy in office 3 years after resolution of case.*	29 CFR 1603.
30.	EQUAL EMPLOYMENT OPPORTUNITY (EEO) REPORTS Includes EEO-1, EEO-4, EEO-5, and EEO-6 reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provision of Title VII and the Americans with Disabilities Act (ADA).	Destroy in office after 3 years.	29 CFR 1602 (1992).
31.	EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32.
32.	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Records concerning leave taken, premium payments, employer notice, disputes with employees over FMLA and other related records.	Destroy in office after all audits plus 3 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
33.	FRINGE BENEFITS FILE	Destroy in office when reference value ends.	

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ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. Disciplinary correspondence may also be included.	Destroy in office 3 years after resolution.* See Also DISCIPLINARY FILE item 11, page 22.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
35.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
36.	INCREMENTS FILE	Destroy in office when released from all audits.	
37.	INTERNSHIP PROGRAM FILE	Destroy in office after 3 years.	Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.
38.	JOB EVALUATION DESCRIPTION FILE	Destroy in office when administrative value ends.	
39.	JOB TRAINING PARTNERSHIP ACT (JTPA) RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(e) Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
40.	LEAVE FILE Records documenting employee leave including requests for and approval of sick, vacation, overtime, buy-back, shared, etc.	Destroy in office after 5 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	LEAVE WITHOUT PAY FILE	Destroy in office 5 years after return of employee or termination of employment.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
42.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
43.	MERIT FILE	Destroy in office after 2 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
44.	MILITARY LEAVE FILE	Destroy in office after 2 years.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
45.	PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. File includes personnel action forms and records relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.	Destroy in office 30 years from date of separation. See also EMPLOYEE MEDICAL RECORDS item 22, page 24.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

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ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level.	Transfer to Personnel Office for review and disposal following separation.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
47.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain official copy of internal agency personnel policies permanently. b) Destroy reference copies and external policy procedures when superseded or obsolete.	
48.	POSITION CLASSIFICATION- POSITION HISTORY FILE	Permanent.	
49.	POSITION CONTROL CARDS	Destroy in office when reference value ends.	
50.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office when superseded or obsolete.	
51.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.	
52.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.	
53.	SERVICE AWARDS FILE	Destroy in office 5 years from date of award.	

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ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who were not provided, or eligible for, benefits. Does not include personnel records created for specific federal programs.	Destroy in office 1 year from date of separation.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
55.	UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
56.	UNEMPLOYMENT COMPENSATION REPORTS Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after all audits plus 3 years.	
57.	UNEMPLOYMENT INSURANCE FILE	Transfer original records to the Department of Commerce, Unemployment Insurance Division, when received. Destroy in office remaining records after 2 years.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
58.	VOLUNTEER RECORDS Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
59.	WORK PLANNING AND PERFORMANCE REVIEW FILE	Destroy in office after 3 years.	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

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ITEM #	STANDARD-4: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
60.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE	a) Transfer original to the County or Municipal Personnel Office. b) Destroy in office reference copy when administrative value ends.	
61.	WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. File includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. File also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).)	Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.* Retention note: Certain of the records contained within this file may not be "public records" as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel.	Comply with applicable provisions of G.S. §8-53 regarding the confidentiality of physician-patient records, and G.S. §162A-6.1 regarding confidentiality of personnel records.

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STANDARD-5. PROGRAM OPERATIONAL RECORDS.

Official records pertaining to the authority, operating philosophy, methods, and primary functions of the water and sewer authorities and sanitary districts.

<i>ITEM #</i>	<i>STANDARD-5: PROGRAM OPERATION RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	CUSTOMER ACCOUNT HISTORIES Records necessary to provide and bill for services. Includes applications for services.	In accordance with G.S. §132-1.1 (c), these records are not public records as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel. Recommended disposition: Destroy in office when administrative value ends.	G.S. §132-1.1(c)

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	CUSTOMER FINANCIAL RECORDS Billing and receipt records concerning customer accounts.	In accordance with G.S. §132-1.1(c), these records are not public records as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel. Recommended disposition: a) Destroy utility bills and receipts in office after 1 year. b) Destroy copies of notices of unpaid bills in office after payment or release. c) Destroy records of accounts receivable file in office after 3 years and when released from all audits, whichever occurs later. d) Destroy cashier's daily cash records for utility accounts in office after 3 years and when released from all audits, whichever occurs later.	G.S. §132-1.1(c)
3.	CUSTOMER USAGE RECORDS Includes reports, plans or similar records submitted by customers concerning intended or actual use of the system.	Destroy in office after 3 years.*	40 CFR 403.12(o)(3)
4.	CUSTOMER WORK ORDERS Includes service orders such as to connect and disconnect service or other maintenance functions.	Destroy in office 1 year after completion of work.	
5.	DAILY FACILITY OPERATORS LOGS AND REPORTS	a) Destroy in office after 3 years records concerning the operation of water treatment facilities.* b) Destroy in office after 5 years records concerning the operation of wastewater treatment facilities.*	15A NCAC 18C .1301 and 2B .0800

*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..

ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	DISCHARGE MONITORING REPORTS Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System permits.	a) Destroy daily reports in office after 3 years.* b) Destroy NPDES reports in office 3 years from date of submission.* c) Destroy annual reports in office 5 years from date of submission.*	40 CFR 122.41(j)(2) 1996 15A NCAC 2B .0500 and 2H .0200
7.	EXEMPTION (VARIANCE) RECORDS	Destroy in office 5 years after expiration.*	40 CFR 141.33 15A NCAC 18C .1526
8.	GROUNDWATER MONITORING RECORDS Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100
9.	HAZARDOUS WASTE DISPOSAL RECORDS Includes copies of manifests and other related documentation.	Destroy in office after 3 years.*	40 CFR Part 262 15A NCAC 13A .0100
10.	LABORATORY OPERATION RECORDS Includes documentation of all analytical quality control practices, reporting units, forms, test methods and related procedures pertaining to certification.	a) Destroy samples, raw data, analysis reports and related documentation after 5 years.* b) Destroy records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	15A NCAC 02H .0800 and .1100
11.	LEAD AND COPPER COMPLIANCE RECORDS Includes all monitoring records required by federal, state and local regulations.	Destroy in office after 12 years.*	40 CFR 141.91
12.	LINE INSPECTION MAPS	Destroy in office when superseded and obsolete.	

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ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	MAPS (UTILITY INSTALLATIONS & DISTRIBUTIONS) Includes maps, plats, charts and similar records showing the location of water mains, valves, hydrants, meters etc. throughout the system.	In accordance with G.S. §132-1.7, these records are not public records as defined by G.S. §132-1. The Department of Cultural Resources has no authority to regulate the disposition of "non-public" records. It is recommended that custodians retain and dispose of the records according to best practices and advice from qualified legal counsel. Recommended disposition: Retain for life of system.	15A NCAC 18C .0300 G.S. §132-1.7
14.	METER READING RECORDS Includes books, cards, sheets and similar records showing customer consumption.	Destroy in office after 3 years.*	
15.	NOTICE TO PROPERTY OWNERS OF APPROVAL OF WATER UTILITY INSTALLATION	Destroy in office after 2 years.	
16.	PARTICIPATION CONTRACTS Contracts used to determine amount of reimbursement to developer.	Destroy in office after 3 years after completion.*	
17.	PERIODIC INSPECTION REPORTS OF INDUSTRIAL FACILITIES	Destroy in office after 5 years.	
18.	PRETREATMENT PROGRAM RECORDS Includes annual pretreatment reports, records of monitoring activities and results, water quality records and other related documentation.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.* b) Destroy in office remaining records after 3 years.*	15A NCAC 02H .0900 40 CFR Part 503.12
19.	RATE SCHEDULES	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	SANITARY SURVEY RECORDS Includes reports, summaries, studies, correspondence, and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	40 CFR 141.33 15A NCAC 18C .1526
21.	SERVICE DISCONTINUANCE RECORDS Includes termination notices, energy assistance notifications, deferred payment agreements, dispute review documents and similar records relating to the actual or threatened disconnection of service.	Destroy in office 1 year after resolution.*	
22.	SERVICE INTERRUPTION RECORDS Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
23.	SEWER JETTING AND VACTORING RECORDS Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	
24.	SLUDGE TREATMENT RECORDS Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans and other related documentation.	Destroy in office after 5 years.*	15A NCAC 2H .0200 40 CFR Part 503.12
25.	TAP AND HOOK UP RECORDS Applications, permits, contracts, logs or similar records documenting location and installation of water and wastewater hookup and taps.	a) Destroy in office permits and contracts 3 years after termination or cancellation.* b) Destroy in office remaining records when administrative value ends.*	
26.	VIOLATION RECORDS Includes all documentation of actions taken to correct federal, state or local violations of water and wastewater management standards.	Destroy in office after 5 years.*	40 CFR 141.33 15A NCAC 18C .1526

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ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS	Destroy in office after 5 years.*	15A NCAC 2B .0500
28.	WASTEWATER QUALITY ANALYSIS RECORDS	a) Destroy in office monitoring and calculation sheets after 1 years.* b) Destroy in office analysis reports after 3 years.*	15A NCAC 2B .0500
29.	WATER SUPPLY QUALITY ANALYSIS RECORDS	a) Destroy bacteriological analysis records in office after 5 years. b) Destroy chemical and radiological analysis records in office after 10 years.	15A NCAC 18C .1526 and 40 CFR 141.33
30.	WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS Includes authorizations to construct, building plans and specifications.	Permanent.	15A NCAC 18C .0300 and 2H .0100 and .0200
31.	WATER AND WASTEWATER PERMITS AND APPROVAL RECORDS Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.	a) Destroy permits in office 5 years after expiration, cancellation, revocation, or denial.* b) Retain approval letters and supporting documentation permanently.	15A NCAC 18C .0300 and 2H .0100 and .0200
32.	WATER AND WASTEWATER SERVICE AGREEMENTS	Destroy in office 3 years after termination or expiration.*	
33.	WATER AND WASTEWATER SYSTEM INSPECTIONS AND TESTS Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	

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ITEM #	STANDARD-5: PROGRAM OPERATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	WATER AND WASTEWATER SYSTEM MAINTENANCE AND REPAIR RECORDS Includes records documenting installation, location, specifications, maintenance history, etc., for hydrants, meters, pipes, pumps, valves and similar system equipment.	a) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.	
35.	WATER AND WASTEWATER SYSTEM MANAGEMENT PLANS	Permanent.	
36.	WATER AND WASTEWATER SYSTEM PROJECT RECORDS	a) Retain project pre-approval and final approval letters permanently. b) Destroy in office remaining records 5 years after project is completed.	40 CFR 141.33 15A NCAC 18C .0300
37.	WATER STOCK PURCHASE RECORDS Records documenting the purchase of water from individuals and/or companies.	Destroy in office after 3 years.*	
38.	WATER SYSTEM OPERATIONS RECORDS Includes backflow prevention reports, flow reports, capacity studies and similar records that summarize the operations of water supply, treatment, distribution and collection.	Destroy in office after 10 years.*	40 CFR 141.33 15A NCAC 18C .1526

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STANDARD-6. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by water and sewer authorities.

<i>ITEM #</i>	<i>STANDARD-6: PUBLIC RELATIONS RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ADVERTISEMENTS Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	a) Retain records with historical value permanently. b) Destroy in office billing information and other fiscal records when released from all audits.* c) Destroy remaining records in administrative value ends.	
2.	AGENCY PUBLICATIONS	a) Retain records with historical value permanently. b) Destroy remaining copies in office when administrative value ends.	
3.	AUDIO TAPES (PUBLIC RELATIONS)	a) Retain records with historical value permanently. b) Destroy remaining records in office when administrative value ends.	
4.	BIOGRAPHICAL DATA	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends.	
5.	CORRESPONDENCE/MEMORANDA (PUBLIC RELATIONS)	Destroy in office after 3 years.	
6.	FILMS FILE	a) Retain records with historical value permanently. b) Destroy in office remaining films when administrative value ends.	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	HOMEPAGE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's Web site. Retention Note: A network administrator or information systems office may maintain electronic files.	a) Retain records with historical value permanently. Can be maintained in electronic or paper form. b) Erase/destroy in office when superseded or obsolete.	
8.	NEWS CLIPPINGS	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends.	
9.	NEWS AND PRESS RELEASES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
10.	PHOTOGRAPHS	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
11.	PUBLIC RELATIONS FILE Records concerning overall public relations of county administrative offices. File includes procedures, correspondence, and other related records.	Destroy in office after 5 years.	
12.	SLIDES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
13.	SPEECHES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	

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<i>ITEM #</i>	<i>STANDARD-6: PUBLIC RELATIONS RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
14.	VIDEO TAPES (PUBLIC RELATIONS)	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
15.	VISUAL AIDS	Destroy in office when administrative value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

STANDARD-7. RISK MANAGEMENT RECORDS

Official records and materials created and accumulated by risk management programs operated by water and sewer authorities.

<i>ITEM #</i>	<i>STANDARD-7: RISK MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)	a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 61, page 30. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years.	See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE , Standard-4, Item 61, page 29. See also WORKERS' COMPENSATION LITIGATION FILE , Standard-3, Item 15, page 16, if report results in legal action.
2.	ASBESTOS MANAGEMENT PLAN	Destroy in office 1 year after building is destroyed or ownership is transferred.	29 CFR 1910.1001
3.	BLOODBORNE PATHOGEN TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii).
4.	CLAIM COST REPORTS AND/OR STATEMENTS	Destroy in office after 3 years.*	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious).	Destroy in office when superseded or obsolete.	
6.	EMPLOYEE MEDICAL EXPOSURE RECORDS Records concerning the exposure of employees to potential hazardous materials, including asbestos and blood-borne pathogens.	Destroy exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.*	29 CFR 1910.
7.	HEALTH AND SAFETY FILE Records concerning agency safety measures. Includes reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
8.	FUEL OIL STORAGE TANK RECORDS	a) Destroy in office closure records 3 years after completion of permanent closure. b) Destroy in office performance claims and tank tightness tests completed every 5 th year after 5 years. c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other tests and related records after 1 year.	G.S. §119.32.
9.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	HOLD HARMLESS AGREEMENTS	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.	
11.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends or after 4 years, whichever occurs first.	
12.	INSURANCE AND LIABILITY WAIVERS	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.*	
13.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office after 1 year.	
14.	MATERIAL SAFETY DATA SHEETS Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufactures instructions.	29 CFR 1910.1200
15.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	
16.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records of injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
17.	RESPIRATOR PROGRAM RECORDS Includes respirator fit test records.	Destroy in office when superseded, obsolete or administrative value ends, whichever occurs first.	
18.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims, whichever occurs first.	
19.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.	

**Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 18..*

**North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch**

REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____

INSTRUCTIONS

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original, and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

CHANGE REQUESTED

_____ Add a new item					
_____ Delete an existing item	Standard Number _____	Page _____	Item Number _____		
_____ Change an retention period	Standard Number _____	Page _____	Item Number _____		

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **VOLUME OF RECORDS IN LINEAR INCHES** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

**North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch**

REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone number _____

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

Approved by: _____, _____, _____
Signature Mayor/Head of Governing Board Date

Concurred by: _____, _____, _____
(except as indicated) Signature Assistant Records Administrator Date
NC Division of Historical Resources

**North Carolina Department of Cultural Resources
Division of Historical Resources
Government Records Branch**

REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS

TO Assistant Records Administrator
N.C. Division of Historical Resources
Government Records Branch
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone number _____

Use this form to request approval from the Department of Cultural Resources to dispose of records you have scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to computer or digital environments. This form does not apply to records which have only been microfilmed or photocopied.

A completed copy of the "Electronic Records Production Control Self-Warranty" form **must** be attached. It can be found in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

Approved by: _____, _____, _____
Signature Mayor/Head of Governing Board Date

Concurred by: _____, _____, _____
(except as indicated) Signature Assistant Records Administrator Date
NC Division of Historical Resources

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